

## Securities and Exchange Commission

## § 250.2

### SERVICE, SALES AND CONSTRUCTION CONTRACTS

- 250.80 Definitions of terms used in rules under section 13.
- 250.81 Exempted transactions.
- 250.82 Temporary exemption from section 13.
- 250.83 Exemption in the case of transactions with foreign associates.
- 250.84 Prohibition of unauthorized transactions by registered holding companies.
- 250.85 Service, sales, and construction by registered holding companies.
- 250.86 Prohibition of unauthorized transactions by subsidiaries.
- 250.87 Subsidiaries authorized to perform services or construction or to sell goods.
- 250.88 Approval of mutual service companies; organization and conduct of business or subsidiary service companies.
- 250.89 Termination of contracts.
- 250.90 Transactions limited to cost.
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- 250.92 Sales of goods produced by seller.
- 250.93 Accounts and records of mutual and subsidiary service companies.
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### MISCELLANEOUS RULES

- 250.100 Orders granting or withdrawing exemptions.
- 250.101 Standards and interpretations of rules.
- 250.102 Effective date of rules.
- 250.103 References and definitions.
- 250.103A Liability for certain statements by issuers.
- 250.104 Public disclosure of information and objections thereto.
- 250.105 Disclosure detrimental to the national defense or foreign policy.
- 250.106—107 [Reserved]
- 250.110 Small entities for purposes of the Regulatory Flexibility Act.

AUTHORITY: 15 U.S.C. 79c, 79f(b), 79i(c)(3), 79t, unless otherwise noted.

SOURCE: Rule U, 6 FR 2015, Apr. 19, 1941, unless otherwise noted.

NOTE: In §§250.1 to 250.105 the numbers to the right of the decimal point correspond with the respective rule numbers of Regulation U.

### ATTENTION ELECTRONIC FILERS

THIS REGULATION SHOULD BE READ IN CONJUNCTION WITH REGULATION S-T (PART 232 OF THIS CHAPTER), WHICH GOVERNS THE PREPARATION AND SUBMISSION OF DOCUMENTS IN ELECTRONIC FORMAT. MANY PROVISIONS RELATING

TO THE PREPARATION AND SUBMISSION OF DOCUMENTS IN PAPER FORMAT CONTAINED IN THIS REGULATION ARE SUPERSEDED BY THE PROVISIONS OF REGULATION S-T FOR DOCUMENTS REQUIRED TO BE FILED IN ELECTRONIC FORMAT.

### REGISTRATION AND GENERAL EXEMPTIONS

#### § 250.1 Registration.

(a) *Notification of registration.* Notifications of registration pursuant to section 5(a) of the act (49 Stat. 812; 15 U.S.C. 79(e)) shall be filed on Form U-5A.

(b) *Registration statement.* Every registered holding company and person registering as a company proposing to become a holding company, shall file with the Commission a registration statement on Form U-5B within 90 days after becoming a registered holding company.

(c) *Annual report.* Every registered holding company shall file, on or before the first of May in the year following that in which it filed its registration statement, and in every succeeding year, an annual report on Form U5S (§259.5s of this chapter): *Provided, however,* That where any holding company system includes more than one registered holding company, the annual report shall be filed by the top registered holding company in such system and shall be signed on behalf of each registered holding company in such system by the authorized officer of each such registered holding company.

[Rule U, 6 FR 2015, Apr. 19, 1941, as amended at 16 FR 2576, Mar. 21, 1951; 37 FR 1472, Jan. 29, 1972; 61 FR 49961, Sept. 24, 1996]

#### § 250.2 Exemption of holding companies which are intrastate or predominantly operating companies.

(a) *General provisions.* Any holding company, and every subsidiary company thereof as such, shall, upon the filing of an exemption statement on Form U-3A-2 and subject to the filing of such exemption statement on or before March 1 of each year thereafter, and subject to the provisions of Rule U-6, be exempt from all the provisions of the act and rules thereunder, except section 9(a)(2) of the act, if: